

Local Authority Review Summary

(Division of Substance Abuse & Mental Health Local Authority Review only)

Division: _____ Review Date: _____

Reviewer(s): _____

Provider Name: _____ Provider ID: _____

Contract #: _____

Review Location(s): _____

Compliance Ratings: Y = Yes; NI = Needs improvement; N = No; NA = Not applicable

Component	Compliance? (Yes / NI / No/ NA)			* Deficiency Level?	Comments:
Review and approve the local authority's plan					
1) Assurances of a comprehensive continuum of services	Y	N	NA	Major ____ Significant ____ Minor ____	
2) Assurances of the appropriate expenditure of public funds.	Y	N	NA	Major ____ Significant ____ Minor ____	
3) Local Authority approves service plan prior to submission to Division.	Y	N	NA	Major ____ Significant ____ Minor ____	
4) Service plan is received by Division in a timely manner.	Y	N	NA	Major ____ Significant ____ Minor ____	
5) Service plan is reviewed and approved by Division prior to initiation of contract.	Y	N	NA	Major ____ Significant ____ Minor ____	
Division contracts with Local Authority will include the following conditions					
1) Independent auditor shall conduct an audit pursuant to Title 51, Chapter 2; DH 9 and DH 10 State Auditor guidelines.	Y	N	NA	Major ____ Significant ____ Minor ____	
2) The defining guidelines and procedures formulated by the State Auditor for auditing compensation and expenses of officers, directors, and specified employees of the private contract provider, to assure that no personal benefit is gained from travel or other expenses.	Y	N	NA	Major ____ Significant ____ Minor ____	

Component	Compliance? (Yes / NI / No/ NA)			* Deficiency Level?	Comments:
Annual review with local authority concerning their statutory and contract responsibilities					
1) The use of public funds	Y	N	NA	Major ____ Significant ____ Minor ____	
2) Oversight responsibilities	Y	N	NA	Major ____ Significant ____ Minor ____	
3) Governance of programs and services	Y	N	NA	Major ____ Significant ____ Minor ____	
Evaluation of programs provided by local authority					
1) Onsite review of contracted service requirements	Y	N	NA	Major ____ Significant ____ Minor ____	
2) Requested information and outcome data provided to the Division in the manner and within the time lines defined by the Division.	Y	N	NA	Major ____ Significant ____ Minor ____	
3) Public funds allocated to local authorities are consistent with services rendered and outcomes reported by it or its contract provider.	Y	N	NA	Major ____ Significant ____ Minor ____	
4) Local Authority provides services in accordance with approved service plan.	Y	N	NA	Major ____ Significant ____ Minor ____	
5) Other type of review(s) (Identify type of review)	Y	N	NA	Major ____ Significant ____ Minor ____	
Board and Division policy					
1) Compliance with board and division policy	Y	N	NA	Major ____ Significant ____ Minor ____	
2) Other contract requirements (e.g. conflicts of interest)	Y	N	NA	Major ____ Significant ____ Minor ____	

Component	Compliance? (Yes / NI / No/ NA)			* Deficiency Level?	Comments:
Expenditure of Public Funds (Local, State, Federal)					
1) Local Authority – travel	Y	N	NA	Major ____ Significant ____ Minor ____	
2) Local Authority – other	Y	N	NA	Major ____ Significant ____ Minor ____	
3) Private Contractor(s) – travel	Y	N	NA	Major ____ Significant ____ Minor ____	
4) Private Contractor(s) – other	Y	N	NA	Major ____ Significant ____ Minor ____	
Local authority compliance with its oversight and management responsibilities.					
1) Complying and requiring compliance by its contract provider with all directives issued by the DHS and DOH regarding the use and expenditure of state and federal funds received from those departments for the purpose of providing services.	Y	N	NA	Major ____ Significant ____ Minor ____	
2) Complying and requiring compliance by its contract provider with all applicable state and federal statutes, policies, audit requirements, contract requirements, and any directives resulting from those audits and contract requirements.	Y	N	NA	Major ____ Significant ____ Minor ____	
3) Complying with the requirements and procedures outlined in 62A-15-110 for independent audit requirements and what must be provided in the audit.	Y	N	NA	Major ____ Significant ____ Minor ____	
4) Compliance with ensuring that the public funds it receives are used in accordance with federal and state law, the rules and policies of the DHS and DOH and the provisions of any contract	Y	N	NA	Major ____ Significant ____ Minor ____	

Component	Compliance? (Yes / NI / No/ NA)			* Deficiency Level?	Comments:
between the local authority and the DHS, the DOH, or a private provider.					
Contract language required in Local Authority sub-contracts					
1) Require compliance with State and Federal law and policy.	Y	N	NA	Major ____ Significant ____ Minor ____	
2) The division and the county auditor may examine and audit financial records.	Y	N	NA	Major ____ Significant ____ Minor ____	
3) The division can withhold funds:					
a. Otherwise allocated to the Authority to cover the costs of audits, attorney's fees, and other expenses associated with reviewing the expenditure of public funds by a local authority or its contract provider if there is an audit finding or judicial determination public funds were misused;	Y	N	NA	Major ____ Significant ____ Minor ____	
b. Contract non-compliance;	Y	N	NA	Major ____ Significant ____ Minor ____	
c. Failure to comply with division directivities	Y	N	NA	Major ____ Significant ____ Minor ____	
d. Failure of a local authority's contract with a provider to comply with state and federal law or policy	Y	N	NA	Major ____ Significant ____ Minor ____	

CONTRACT MONITOR (Signature)

Date

CONTRACT MONITOR (Please **Print**)

CONTRACT MONITOR (Signature)

Date

CONTRACT MONITOR (Please **Print**)